



SPW 2644

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re: Attorney Docket No. Baumgarte 1-6-8

In re application of: Frank Baumgarte, Jiashu Chen, and Christof Faller

Serial No.: 10/045,458

Group No.: 2644

Filed: 11/07/01

Examiner: Con P. Tran

Matter No.: 992.1013

Phone No.: 571-272-7532

For: Backwards-Compatible Perceptual Coding of Spatial Cues

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In accordance with 37 CFR § 1.56, this is an Information Disclosure Statement (IDS) for the above-captioned U.S. patent application. An IDS Form PTO-1449 listing references is enclosed herewith and forms a part hereof. Submission of references is not an admission that those references are in fact prior art.

Certification Under 37 CFR § 1.704(d)

[ ] Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of this statement.

Certification Under 37 CFR § 1.97(e)

[X] Each item of information contained in this statement was either (1) cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement or (2) not known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement.

\* \* \* \* \*

Certification Under 37 CFR 1.8

Date of Deposit March 22, 2006

I hereby certify that this paper and any accompanying papers or fees are being deposited with the U.S. Postal Service with sufficient postage as first class mail under 37 CFR 1.8 on the date indicated above and addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Leighann Madeksiak  
(Name of person mailing)

Leighann Madeksiak  
(Signature of person mailing)

Fee Under 37 CFR § 1.97(c)

☐ The fee for submission of this IDS under § 1.97(c) is \$180.00 as set forth in § 1.17(p).

Petition Under 37 CFR § 1.97(d)

☐ This is a petition requesting consideration of an IDS under § 1.97(d). The petition fee for submission of this IDS under § 1.97(d) is \$180.00 as set forth in § 1.17(p).

Provision of Copies of References

☒ A copy of each of the listed references is enclosed herewith and forms a part hereof.

☐ A translation of each of Reference(s)    is enclosed herewith and forms a part hereof.

☐ A copy of the International Search Report from a corresponding PCT application is enclosed herewith.

☐ A copy of the European Examination Report from a corresponding EPO application is enclosed herewith.

☐ A copy of the final U.S. office action for U.S. patent application no.                      filed on                      as attorney docket no. (Case name or our ref.).

☐ The above-captioned U.S. patent application is a

- ☐ continuation
- ☐ divisional
- ☐ continuation-in-part

application of U.S. application serial number       , filed on        as Attorney Docket No.       . Each of the listed references was previously cited by or submitted to the Office in the prior application. The above-captioned U.S. patent application relies upon the prior application for an earlier filing date under 35 U.S.C. 120. Pursuant to § 1.98(d), copies of the listed references are not being provided with this IDS.

Authorization to Charge Credit Card Account

☐ Form PTO-2038 authorizing credit card payment in the amount of \$      .

Authorization To Charge Deposit Account

☒ Authorization is given to charge Mendelsohn & Associates, P.C. Deposit Account No. 50-0782 for any fee under § 1.97(c) or § 1.97(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449 form as confirmation that each of the documents has been considered.

Date: 3/22/06  
Customer No. 46900  
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Respectfully submitted,  
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Enclosures

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(Rev. 2-32) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

Baumgarte 1-6-8  
APPLICANT

10/045,458

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Frank Baumgarte, Jiashu Chen, and Christof Faller  
FILING DATE GROUP

11/07/01

2644

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
HA	5,812,971	09/1998	Herre	704	230	
HB	US 6,539,357 B1	03/2003	Sinha	704	270.1	
HC	US 2003/0187663 A1	10/2003	Truman et al.	704	500	

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
HD WO 2004/008806 A1	01/2004	PCT	H04S	3/00	
HE WO 2004/086817 A2	10/2004	PCT	H04S		

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

HF	"Advances in Parametric Coding for High-Quality Audio," by Erik Schuijers et al., Audio Engineering Society Convention Paper 5852, 114 <sup>th</sup> Convention, Amsterdam, The Netherlands, March 22-25, 2003, pp. 1-11.
HG	"Advances in Parametric Coding for High-Quality Audio," by E.G.P. Schuijers et al., Proc. 1 <sup>st</sup> IEEE Benelux Workshop on Model Based Processing and Coding of Audio (MPCA-2002), Leuven, Belgium, November 15, 2002, pages 73-79, XP001156065.
HH	"Improving Audio Codecs by Noise Substitution," by Donald Schulz, Journal of the Audio Engineering Society, Vol. 44, No. 7/8, July/August 1996, pp 593-598, XP000733647.
HI	"The Reference Model Architecture for MPEG Spatial Audio Coding," by Juergen Herre et al., Audio Engineering Society Convention Paper 6447, 118 <sup>th</sup> Convention, May 28-31, 2005, Barcelona, Spain, pp 1-13, XP009059973.
HJ	"From Joint Stereo to Spatial Audio Coding - Recent Progress and Standardization," by Jurgen Herre, Proc. of the 7 <sup>th</sup> Int. Conference on Digital Audio Effects (DAFx' 04), October 5-8, 2004, Naples, Italy, XP002367849.
HK	"Parametric Coding of Spatial Audio," by Christof Faller, Proc. of the 7 <sup>th</sup> Int. Conference on Digital Audio Effects (DAFx' 04), October 5-8, 2004, Naples, Italy, XP002367850.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.